



6P 2922

PTO/SB/21 (08-00)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number Of Pages In This Submission

10 + 6  
references

Application Number

09/786,977

Filing Date

June 7, 2001

First Named Inventor

Koji TAKAHASHI

Group Art Unit

2822

Examiner Name

J. Brophy

Attorney Docket No.

299002052200

**ENCLOSURES (check all that apply)**☐ Fee Transmittal Form☐ Assignment Papers  
(for an Application)☐ After Allowance Communication to  
Group☐ Fee Attached☐ Drawing(s)☐ Appeal Communication to Board of  
Appeals and Interferences☐ Amendment / Reply☐ Licensing-related Papers☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)☐ After Final☐ Petition☐ Proprietary Information☐ Affidavits/declarations☐ Petition to Convert to a  
Provisional Application☐ Status Letter☐ Extension of Time Request☐ Power of Attorney, Revocation  
Change of Correspondence Address☒ Other Enclosure(s) (please identify  
below):☐ Express Abandonment Request☐ Terminal Disclaimer

1. Form PTO-1449 + copy - 2 pages

2. Six (6) References

3. Copy of the European Search Report -  
4 pages

4. Return Postcard

☒ Information Disclosure Statement - 3  
pages☐ CD, Number of CD(s) \_\_\_\_\_☐ Certified Copy of Priority Document(s)

Remarks

☐ Response to Missing Parts/  
Incomplete Application☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm

Morrison &amp; Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018

or

Individual Name

Madeline I. Johnston (Registration No. 36,174)

Signature

Date

January 28, 2003

**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

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Lisa Small

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



#15 2-13-03 ps

PATENT  
Docket No. 299002052200  
Client Ref. F5-0136063/98R00651/US/END

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Lisa Small

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Koji TAKAHASHI and Hidenori  
KAWANISHI

Serial No.: 09/786,977

Filing Date: June 7, 2001

For: METHOD FOR FORMING  
COMPOUND SEMICONDUCTOR  
LAYER AND COMPOUND  
SEMICONDUCTOR APPARATUS

Examiner: J. Brophy

Group Art Unit: 2822

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SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

The documents listed on the attached Form PTO-1449 were cited in a Search Report (copy attached) directed to a counterpart international or foreign application.

This Information Disclosure Statement is submitted:

- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☒ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☒ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

*Certificate of Prompt Filing under 37 C.F.R. § 1.97(e)(1)*

I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

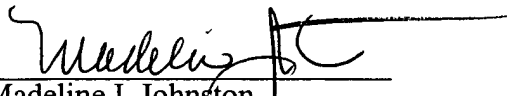
Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

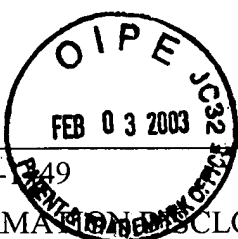
In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 299002052200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: January 28 2003

Respectfully submitted,

By:   
Madeline I. Johnston  
Registration No. 36,174

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Form PTO-149 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 299002052200	Application Number 09/786,977
	Applicant Koji TAKAHASHI and Hidenori KAWANISHI	
	Filing Date June 7, 2001	Group Art Unit 2822
	Mailing Date January 28, 2003	

COPY

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	12/24/96	5,587,014	Iyechika et al.			

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	2.	1/22/99	JP 11-017284	Japan			Abstract

## OTHER DOCUMENTS

*(including author, title, Date, Pertinent Pages, Etc.)*

Examiner Initials	Ref. No.	Title
	3.	Mendoza-Diaz, G. et al. (1997). "Feasibility of the Synthesis of AlAsN and GaAsN Films by Plasma-source Molecular-beam Epitaxy," <i>Journal of Crystal Growth</i> 178(1-2):45-55.
	4.	Qui, Y. et al. (1998). "Metalorganic Molecular Beam Epitaxy of GaAsN with Dimethylhydrazine," <i>Applied Physics Letters</i> 72(16)
	5.	Sakai, Shiro et al. (1998). "Growth of InNAs on GaAs(1 0 0) Substrates by Molecular-beam Epitaxy," <i>Journal of Crystal Growth</i> 189/190:471-475
	6.	Uesugi, Katsuhiko et al. (1998). "Metalorganic Molecular Beam Epitaxy of GaNAs Alloys on (0 0 1)GaAs," <i>Journal of Crystal Growth</i> 189/190:490-495

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EXAMINER:	DATE CONSIDERED:
EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.	